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F794NunC
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      UNITED STATES DISTRICT COURT
      SOUTHERN DISTRICT OF NEW YORK
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     MARK NUNEZ, et al.,
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                     Plaintiffs,
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                                              11 CV 5845 (LTS)
                 V.
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      CITY OF NEW YORK, et al.,
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                     Defendants.
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                                               New York, N.Y.
                                               July 9, 2015
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                                               11:00 a.m.
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     Before:
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                          HON. LAURA TAYLOR SWAIN,
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                                               District Judge
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                                 APPEARANCES
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     LEGAL AID SOCIETY
          Attorneys for Plaintiffs
     BY: JONATHAN S. CHASAN
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      -and-
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     ROSE & GRAY
           Attorneys for Plaintiffs
     BY: CHRISTINA G. BUCCI
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           ANNA E. FRIEDBERG
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          PAUL KELLOGG
      -and-
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     U.S. DEPARTMENT OF JUSTICE
           Attorneys for Plaintiffs
21
     BY: JEFFREY POWELL
           LARA K. ESHKENAZI
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      -and-
      EMERY CELLI BRINCKERHOFF & ABADY LLP
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          Attorneys for Plaintiffs
     BY: JONATHAN S. ABADY
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      (Appearances continued on next page)
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F794NunC APPEARANCES (continued) NEW YORK CITY LAW DEPARTMENT Attorneys for Defendants BY: ARTHUR G, LARKIN, III CELESTE KOELEVELD KIMBERLY JOYCE KATHLEEN RUBENSTINE

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               (In open court)
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               THE COURT: Kindly introduce yourselves.
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               MR. POWELL: Jeffrey Powell, at the U.S. Attorney's
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      Office, for the government, your Honor.
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               THE COURT: Good morning, Mr. Powell.
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               MR. POWELL: Good morning, your Honor.
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               MS. FRIEDBERG: Anna Frieberg, from Ropes & Gray, on
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      behalf of the plaintiff class.
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               THE COURT: Good morning, Ms. Frieberg.
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               MS. FRIEDBERG: Good morning.
               MS. KOELEVELD: Celeste Koeleveld, on behalf of the
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      defendants, from the Law Department.
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               THE COURT: Good morning, Ms. Koeleveld.
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               MR. LARKIN: Arthur Larkin, for the City of New York,
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      the defendants. Good morning, your Honor.
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               THE COURT: Good morning, Mr. Larkin.
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               Thank you. I thank you for responding to my notice of
      this conference, and good morning to your colleagues and
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      everyone else who is here.
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               I want to thank and congratulate all of you for the
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      work that it has taken to bring us to this place and set the
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      groundwork for a future of constructive change.
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               Having said that, I did have some specific concerns
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      about a couple of features of the settlement agreement and of
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      the mechanics for the settlement approval process that I
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thought it would be useful to talk about together rather than try to correspond about them.

I will start with a small housekeeping issue and then go on to a couple of other issues that are a little bit bigger. The housekeeping issue is this: With respect to the receipt and processing of any objections to the settlement, the notice as currently drafted contemplates that any objections by inmates or others would be addressed to me. I, frankly, don't have the capacity to make sure that something coming into the Court's mail room gets scanned carefully enough to figure out whether the case numbers are referred to somewhere in the body of the letter and it goes off to somebody else's chambers. Typically, what I do in any sort of class objection or opt-out situation is ask that one of the plaintiff's attorney's law firm take responsibility for receiving any objections and then filing all the objections received timely in one lump with an index listing, the names of the objectors, and that is usually done contemporaneously with the advocacy filing that responds to the objections, and then if any were received on an untimely basis, those should be filed separately with a list indicating that they were untimely.

Are plaintiff's counsel willing to take on that responsibility?

MS. FRIEDBERG: Yes, your Honor. We will revise the notice to have Ropes & Gray do that.

I should just note, though, that with respect to the objections, there is also an obligation under CAFA to notify all of the attorneys for the defendants, to notify all of the attorney generals. They have offered that should the attorney generals have any responses that they would collect those and maintain those, and I assume it will be fine.

MR. LARKIN: Yes, your Honor. The defendants will assume responsibility for providing notice to the 50 state attorneys general under the Class Action Fairness Act. And our communications with them, the notice that we provide, will indicate that they should send their objections to us, to the Corporation Counsel's Office. We will take responsibility for that. We will provide copies of any objections that we get both to the Court and to plaintiffs.

THE COURT: Very good.

Similarly, if you are going to respond to objections by way of advocacy, then that will be included and cross-referenced in your filing in aid of final approval?

MR. LARKIN: Yes, your Honor. Absolutely.

THE COURT: Thank you.

Now, a little more substantively as to the obligations of the parties and the Court under the PLRA; specifically, Title 18, Section 3626. The Court does have to make specific findings with respect to a consent decree of this nature. I see and appreciate the stipulation within the settlement

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agreement that all of the requirements of that provision are met, but that's not sufficient to enable the Court to carry out the Court's duties in terms of findings, and so it seemed to me that an appropriate way to address this would be for an official of the Department of Corrections to file, in support of the request for final approval, a declaration or affidavit that would assist the Court in making its determinations. for instance, to lay out in, not painful detail, but more detail, the current state of affairs, the relationship between the proposed new measures and measures already in place and measures that are consistent with law enforcement and penological priorities and assuring the Court that the proposed changes and the ways in which those changes are proposed to be made are the least intrusive means of achieving the goals of upholding public safety and the safety and constitutional rights of the inmates.

It would also, I think, be helpful and responsive to the statutory concerns for such an affidavit to identify any potential adverse impact on public safety or affirmatively to state that these measures will not have an adverse impact on public safety or the operation of the criminal justice system or perhaps even say these will have a positive impact on public safety and the operation of the criminal justice system.

I am sensitive to the defendants' concern about potential use of the settlement agreement or an affidavit in

future litigation, and so I wouldn't be surprised if you were to include some sort of stipulation about limited purpose of the affidavit, but I do need a declaration by someone with knowledge of the system who can assure me that it is appropriate for me to make the findings that I'm required to make by law.

Is there any objection to that conceptually, and will you undertake to do that?

MS. KOELEVELD: Your Honor, on that issue, looking at your Honor's order, we anticipated this might be one of your concerns. There are other examples that we're aware of of consent decrees that the Department of Justice has entered into, for example, in other cases where the stipulation that we have in the consent decree, that the PLRA findings can be made based on the stipulation. But there are other decrees where that has been sufficient and the Court has made the necessary findings based on the stipulation. So we had anticipated that that would be the basis for the finding, that the stipulation alone would be sufficient, and what I'm hearing you say is that you don't believe that it would be and that you will require more?

THE COURT: Yes.

MS. KOELEVELD: I hear one way of doing it would be your Honor's proposal of having a Department of Corrections official submit the necessary paperwork. I would like to

discuss it with the plaintiffs and talk it over with them, about what we all would recommend with response to your Honor's suggestion, either we will proceed that way or perhaps an alternative way that would also get the job done. If that would be okay with your Honor, we would like to discuss it with them first.

THE COURT: That would be fine. I will look forward to your feedback and either agreement or counter proposal. But on the current record and my understanding of my obligations and my understanding of the law, I do want more to support a finding by the Court.

MS. KOELEVELD: Okay.

MR. POWELL: Your Honor, just to clarify one point, you're talking about the ultimate final approval; not with respect to the preliminary approval, but with respect to after the fairness hearing and your final approval, you will want some evidentiary submission?

THE COURT: Yes. Actually, let's go back to housekeeping for a minute. What I would like to have is, in advance of the fairness hearing, at least a week, preferably two weeks in advance of the fairness hearing, a motion for final approval that would include the supplemental declaration, responses to any objections that have been filed, and any further advocacy that is considered necessary or appropriate to the issue of final approval.

I do note that the factual representations concerning the negotiation process and the involvement of the monitor are covered in the declaration that was submitted, the attorney's declaration that was submitted in support of the preliminary approval motion. I would like to have, with the final approval motion papers, a CV of the monitor, his experiences generally described in the attorney's affidavit, but since I will be approving the appointment as part of approving the settlement, I think a CV or at least an abstract of the high points of his CV would be an appropriate matter to put on the record in that fashion. So when we talk about the projected fairness hearing date, let's build in time for that briefing in advance of the fairness hearing.

MR. POWELL: Your Honor, in our proposed order, subject to your Honor's schedule, we had set forth a proposed schedule for a deadline of written objections by September 4th, and then our responses, which certainly will include the items by October 2nd, we were hopeful that we could have a fairness hearing shortly afterwards. As you know and the Court is aware, the government feels that the reforms set forth in the agreement will have a tremendous impact on the safety of inmates, and we want to do everything we can to move the approval process forward and get those reforms implemented as soon as possible.

THE COURT: Yes. The 9th could be a little tight

depending on the additional papers filed and the volume of objections, if any. The 16th I'm not available, but we could do it early in the week that follows the 16th. We can do it anytime in that week, I suspect, and we can look at my calendar.

Ms. Ng, let me know if there is anything in the week after the 16th that would preclude use of a particular day, and then we can pick a day in that week if that would be acceptable to everyone.

MR. LARKIN: That would be the week following October 16th but not that Monday?

THE COURT: The week that ends with the 23rd. We could probably do it on the 23rd, or we could do it earlier in that week.

MS. FRIEDBERG: I think October 19th is the Monday.

THE COURT: I suspect October 19th is the Monday.

That would make sense that that week would then end with the 23rd. I know that the 16th is the Friday.

Shall we aim, say, for Wednesday of that week?

MR. POWELL: That's fine, your Honor, October 21st.

THE COURT: Can we do October 21st, at 2 in the afternoon?

MS. FRIEDBERG: Yes.

THE COURT: So the additional filings, including the responses to objections and the filing of the collated

objections, would be on October 2nd.

MR. POWELL: Yes, your Honor.

THE COURT: I wanted to check with you on two analytical matters that I don't think are specifically addressed in the preliminary approval brief. One is whether the termination of relief restrictions in subsection (b) of 3626(b), which deal with prospective relief, would apply to a consent decree, or whether a consent decree only needs to comply with the findings provisions of subsection (a) of the statute.

MR. POWELL: I think our view, the government's view, is that the applicable standard for approving the consent decree that is being entered is set forth in 3626(a)(1) that needs narrowness and intrusiveness kind of three-prong test. Our understanding is Section (b) deals with instances where a party might want to terminate existing relief and the types of findings that need to be made to justify continuing a consent decree, so after one is already in place, I believe.

THE COURT: And so you don't believe that an order, be it a consent decree or otherwise, incorporating prospective relief needs specifically to address the timing and mechanisms that are set out in (b); that those could simply be invoked not withstanding, for instance, the provisions of this proposed consent decree that provide that it would not be terminable unless there have been two years of full compliance as attested

to by the monitor?

MR. POWELL: There is a termination provision that your Honor is referring to in the agreement, our view is that would be the applicable termination provision; that I think as far as findings for the Court in approving the settlement, I think it is 3626(a)(1). 3626(b) deals with the other instances where parties coming in to terminate an existing consent decree that might be silent to a termination provision.

THE COURT: I am sure that I didn't ask my question clearly enough.

So is it your belief that the provision in the consent decree with regard to timing and mechanisms for termination would supersede the statutory provisions in 3626(b), or that the 3626(b) mechanisms don't apply to a consent decree as opposed to some other sort of imposed order for prospective relief, or (c) that 3626(b) could still be invoked by a party or intervenor notwithstanding the termination provision in the consent decree?

MR. POWELL: The government's view is I think we first indicated option (a) is that the agreed-upon termination provision in the consent judgment would govern and supersedes any other potential form of terminating the relief in the statute, that that is a negotiated provision, and the agreement would terminate if the conditions set forth in the agreement are met.

MS. KOELEVELD: Your Honor.

THE COURT: Ms. Koeleveld.

MS. KOELEVELD: Yes. The City's position is that it is possibly option (c) that applies of the three that your Honor just listed.

THE COURT: I forget how I set them out.

MS. KOELEVELD: Option C was -- and I believe this was potentially an open question -- but that the termination provisions of 1326(b) of a party or a non-party to terminate the decree at some point, that those are not erased or superseded or completely eliminated by the termination provision in the, agreement.

qualifier such as unless otherwise ordered by the court. I thought that the parties' positions might have to do with some construction of the words in which prospective relief is ordered and some distinction of prospective relief from the provisions of the consent decree. In order for me to make my fairness determination, I think it will be appropriate for the precis of final approval to address the parties' positions with respect to the relationship between the consent decree's termination provision and subsection (b), whether if it is not applicable or that it still could be invoked or that it will be overridden, and I will take those positions into account in making my ultimate fairness determination. The uncertainty

doesn't give me pause about preliminary approval, but I do need to be able to understand more thoroughly the positions of the parties, particularly if they differ, and this will also be an appropriate occasion for you to talk about your respective positions since they do appear to differ at this point.

Is it your understanding that the monitoring provisions of the agreement are not covered by the special master provisions of 3626(f)?

MR. POWELL: I think our view is that that is an option for a Court in this type of agreement to appoint a special master, but as the provision says, the Court may appoint a special master, but it is not required here. We have agreed to an independent outside monitor, and we wouldn't see a need, at least from our perspective, to appoint a special master at least at this point.

THE COURT: To put it another way, it is your view that because the responsibilities and the authority assigned to the monitor under the consent decree are not within the scope of the sorts of responsibilities and authority of a special master as described in 3626(f), the monitor position should not be construed as a special master provision that's subject to that subsection of the statute?

MR. POWELL: I think our view is that the roles and responsibility of the independent court monitor are as they are set forth in the agreement, and that defines his role, the

scope of his authority, and his responsibilities, and it is a different beast than a special master, and we don't see the need for a special master given we have an appointed monitor. I will defer to the City, but that is our view.

MR. LARKIN: Your Honor, I believe what Mr. Powell just said is correct under the case law that interprets and applies to the PLRA, but we will take a fresh look at it before we submit papers, and if your Honor permits, we will address that issue in the papers, as well.

THE COURT: I would be grateful. To be clear, I'm not suggesting that there is a need for an appointment of a special master as described in 3626(f) in addition to or instead of the monitor, but in complying with the Court's responsibility to ensure that all mandatory provisions of 3626 are complied with, it is necessary for the Court to have thought through whether the monitor is somehow a special master and for the parties to address that issue, that the applicability or not of 3626(f) in the final submissions would be helpful in closing that loop.

MR. POWELL: We're happy to do that. It is our understanding when the Department of Justice has entered many of these types of agreements, consent judgments with different entities and locations and municipalities, that typically if there is a monitor, my understanding is there is not an additional person who is a special master, but we will confer with them again and address that point in any submission.

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THE COURT: Thank you.

The statute doesn't seem to me to require a special master under any circumstances. It is just whether those requirements would somehow superimpose themselves on the appointment and tenure of the monitor. A logical answer to that at this point without having fully done the research would seem to me to be that no, it doesn't superimpose, but that's a portion of the analytical loop that still needs to be closed, and I would be grateful for your help with that.

Now, the final set of questions that I have, have to do with the expansion of the certified class. It is sort of two or three sets of concerns. One is I would like to confirm my understanding of which facilities are currently covered by consent decrees and how you propose mechanically to get the other consent decrees withdrawn or modified since at least a couple of them are in close cases that are currently on the books of the court assigned to judges that have passed on. we need to get those reopened and reassigned? Were you planning to make applications to the judges for a conditional modification so that if this agreement gets final approval, then those would automatically drop back or whether that is something that you intended to do after the final approval here. And I did my best to match up the agreements that were identified to the facilities named, and I wasn't entirely successful on that one. I saw a consent decree in Reynolds v.

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Ward that specifically deals with the Bellevue prison ward. I didn't see anything dealing specifically with Elmhurst.

MR. CHASAN: Reynolds deals with both Bellevue and Elmhurst, but it is not part of this case.

MS. FRIEDBERG: Your Honor, I'm happy to give you background to help explain this, and I am going to rely on the City, who has actually been working with us, to sort of fold in another matter that is not directly related to Nunez but tangentially involved, and that is that the way the class was defined in this case was, for all intents and purposes, all facilities that are managed by the New York City Department of Corrections with the exception of three: Eric M. Taylor, which is governed by consent decree under the lawsuit Fisher v. Koehler. We have two additional facilities, both Bellevue and Elmhurst. Those were excluded from this lawsuit as a result of other cases such as Reynolds v. Ward. The expansion of the class definition does not contemplate including Bellevue or Elmhurst into the class. It only contemplates adding in Eric M. Taylor. The process upon which we are going to work through this -- as you noted, the case Fisher v. Koehler is quite old and in fact we think probably has now been assigned to Judge Preska -- but while we're still negotiating with the City -- I shouldn't say "we" -- my colleagues at Legal Aid who are counsel in Fisher are negotiating how they will reach out to Judge Preska, but my understanding is they will reach out to

her by letter once we receive preliminary approval on this agreement, and that portions of the consent decree in Fisher that sort of overlap with what is in Nunez would ultimately be sidelined or I guess omitted from that consent decree to allow Nunez to govern. However, the issues in Fisher v. Koehler that are not specifically addressed in this case would remain active in the Fisher v. Koehler lawsuit.

THE COURT: In our ECF system, that is still shown as assigned to Judge Lasker and Magistrate Judge Bernikow.

MS. FRIEDBERG: We noticed the same thing last week.

Our anticipation is probably that it would go to Judge Preska

on an initial basis.

THE COURT: Yes. I think Judge Preska is the safety net for all orphaned cases, and then sometimes they're rolled out to another judge.

Is Sheppard v. Phoenix the case dealing with the central -- actually, the central punitive segregation unit stipulation seems to have been terminated in 2002.

MS. FRIEDBERG: It was, correct. Sheppard was the precursor to the lawsuit here today.

THE COURT: Thank you for reassuring me that you already have that in hand as part of the game plan here.

All right. So, then, we go to the scope of the release. The expanded class includes not only present but all future inmates in these facilities, and the release provision

precludes, it seems to me, any applications for systemic relief by future inmates as well as current inmates. It is written in terms of such relief based on the facts and circumstances alleged in the second amended class action complaint, which does seem to be confined to excessive force type conditions of confinement claims.

Am I correct that that is the parties' intention with respect to limitations of future impact litigation concerning the city jails, that it would be in relation to excessive force claims?

MS. FRIEDBERG: Correct. That is a very shorthanded way, but that is plaintiffs' counsel's intention.

MR. LARKIN: That is our view, as well. I think the second amended complaint includes many categories of allegations, but they all relate to the use of force. There are allegations on training investigations, etc., but ultimately the constitutional violation alleged is the use of excessive force by staff against inmates.

THE COURT: Thank you.

And although there is a provision for termination of the agreement and of the monitoring, I don't see any specific provision addressing termination of the debarment of future inmates from impact litigation even concerning excessive force issues, and so I would be grateful if you could explain to me how the agreement is expected to work in terms of the release

and prohibitions as to future inmates.

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MR. LARKIN: Your Honor, I think briefly, if I understand your Honor's question, the agreement will include prospective relief, and inmates who are admitted to the jails will be part of the class and will benefit from the prospect of release. Those inmates during the term in which prospective release is in force will not be able to bring lawsuits against the Department of Corrections seeking equitable relief for excessive force. Once prospective relief terminates, though, future inmates won't be bound by this release because the release is based on claims that were asserted in the second amended complaint, and those claims are for alleged constitutional violations that occurred during a certain period of time. So once prospective relief expires or is terminated under this agreement, if a future inmate believes that he or she has been subjected to excessive force and believes that another class action is necessary, then that future inmate would not be barred from bringing a new class action based on new factual allegations arising after prospective relief terminates.

THE COURT: So is prospective relief understood to terminate at the time that two years of compliance with the new measures is certified and the monitoring is terminated, or in some other way?

MR. LARKIN: It could be the former, or as

Ms. Koeleveld mentioned, it could be the latter, and we're going to look closely at the case law once again regarding 3626(b). But however prospective relief terminates, once it is terminated and once the monitoring terminates, at that point, a future inmate would not be bound by this release and could bring an action on behalf of a new class.

MS. FRIEDBERG: Your Honor, plaintiffs' counsel has the same view, that once the agreement is terminated, while sort of bracketing the issue of how the agreement gets terminated, either under the provisions of the agreement or perhaps under the statute, ultimately once the agreement is terminated, our position is then the release, too, would end. It would be part and parcel with the termination of the agreement.

THE COURT: So I ask you to think about clarifying that, the provision in Section XXIII certainly doesn't say that in explicit terms and seems to read more broadly. It says, as of the effective date, all members of the plaintiff class, which would of course include future inmates, hereby release and waive any and all claims for and all rights to pursue, initiate, prosecute, or commence any and all causes of action for class-wide injunctive and declaratory relief based on the claims that were asserted in the second amended complaint. The second amended complaint deals with the past history of issues and noncompliance and past efforts and allegations of

noncompliance with past court orders. It doesn't seem inherently limited in time to incidents or practices occurring within a particular time frame. So it may be as simple as an agreement that when the future claims are released for any period during which the agreement, the consent decree remains in effect or something like that, but I don't see that sort of limitation in the document at this point, and that does give me concern in terms of approval of the document as written, final approval of the document as written, is fair.

MS. FRIEDBERG: Sure. Your Honor, just to maybe help assuage your mind here, I wanted to direct you to the class notice where we do give a short summary of the release and the effect of it on page 3 of the notice, paragraph 3. It essentially articulates what Mr. Larkin and I just described in terms of the length of time upon which the release lasts. And so while I agree that for final approval we may want to review the release and make sure the agreement itself is clear, I think at least for the purposes of providing notice to the class, the description here is consistent with what we've described and hopefully what you would feel comfortable with in terms of an agreement on the longevity of the release.

THE COURT: Thank you. I do see that explanation, and the notice is consistent with what I have been told here, and that does help.

I see a typo in the bullet just above that on page 3.

It talks about provisions addressing "yong," Y-O-N-G, inmates.

MS. FRIEDBERG: Thank you, your Honor. We will make that change.

THE COURT: All right, then. So those were the issues that I wanted you to look back on and address or supplement.

Is there anything else that you wanted to bring up with the Court today?

MR. POWELL: On that last issue, just before we move on, I think there would probably be an extra sentence in the release provision of the settlement agreement. Are you fine with us at the time of final approval with our submission on October 2nd including that revised language, or do you want a new revised settlement submitted before that with that sentence?

THE COURT: In the event of the final approval or together with the final approval application will be fine, and I will need, of course, a revised version of the proposed order preliminarily approving the consent judgment.

MS. FRIEDBERG: I was going to propose giving you a new one.

THE COURT: Yes, that would be helpful. I think the dates here remain the same except that we would put in the October 21st date for the hearing.

MS. FRIEDBERG: Your Honor, I did identify one typo on page 2 of the proposed preliminary order in the first full

paragraph. We had a reference to my declaration, and it just 1 2 said dated June, underscore, and it should say July 1, 2015. 3 THE COURT: All right. Actually, if you would just 4 file an updated proposed order with the tweak to the notices, 5 as well, that would be great. 6 MS. FRIEDBERG: Great. 7 THE COURT: And we've agreed that the hearing date is the 21st, and the submissions are for the 2nd of October, and 8 9 you'll get back to me in the interim about the form of 10 submission dealing with the 3626(a) certification of consistency with law enforcement or penological consideration. 11 12 All right, then. I thank you all very much, and I 13 look forward to the submissions, to the fairness hearing in the 14 fall, and to your communications in the interim. 15 I wish you all well. ALL: Thank you. 16 17 (Adjourned) 18 19 20 21 22 23 24

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